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USA, Inc. (n/k/a Innolux Optoelectronics USA, Inc.)*

**UNITED STATES DISTRICT COURT**  
**FOR THE NORTHERN DISTRICT OF CALIFORNIA**  
**SAN FRANCISCO DIVISION**

IN RE: TFT-LCD (FLAT PANEL) ANTITRUST  
LITIGATION

MDL NO. 3:07-md-01827-SI  
CASE NO. 3:12-cv-03802-SI

This Document Relates to  
Individual Case No. 3:12-cv-03802-SI

PROVIEW TECHNOLOGY, INC.,  
  
Plaintiff,  
  
v.  
  
AU OPTRONICS CORPORATION et al.,  
  
Defendants.

~~[PROPOSED]~~ REQUEST FOR  
INTERNATIONAL JUDICIAL  
ASSISTANCE (LETTER OF  
REQUEST) REGARDING PROVIEW  
OPTRONICS (SHENZHEN) CO., LTD.

The Honorable Susan Illston

The United States District Court for the Northern District of California and the Honorable Susan Illston, Senior District Judge, present their compliments to the Appropriate Judicial Authority of the People's Republic of China ("China") and issue this letter of request (the "Request") for international judicial assistance to obtain evidence to be used in a civil proceeding before this Court in the above-captioned matter.

## **I. REQUEST**

The Court requests that the Appropriate Judicial Authority of China request that the following corporate entity, Proview Optronics (Shenzhen) Co., Ltd. ("Proview Optronics Shenzhen"), whose address follows below, produce (1) the documents described in Exhibit A to this Request and (2) a witness to testify at a deposition regarding the matter described in Exhibit B to this Request.

Proview Optronics (Shenzhen) Co., Ltd.  
8th Floor, North Block No. 21  
23 Shataukok Free Trade Zone  
Shenzhen, Guangdong Province  
People's Republic of China

The Court requests such assistance as is necessary in the interest of justice. Furthermore, the Court understands the confidential nature of the documents requested from Proview Optronics Shenzhen and thus advises the Appropriate Judicial Authority of China that any documents produced in connection with this Request are subject to the confidentiality order that is attached hereto as Exhibit C.

## **II. FACTS**

Plaintiff Proview Technology, Inc. ("Proview") instituted the above-captioned civil proceeding in the United States District Court for the Northern District of California against Defendants for the purpose of recovering damages that were allegedly caused by Defendants' conspiracy to fix prices for thin film transistor liquid crystal display ("TFT-LCD") panels and products. Defendants' conspiracy allegedly began on or before January 1, 1996, and lasted through December 11, 2006. The names and addresses of the parties to this proceeding and their representatives are included in Exhibit D, which is attached hereto.

1 In particular, Proview alleges that Defendants sold TFT-LCD panels to various original  
2 equipment manufacturers (“OEMs”) in Asia affiliated with Proview, including Proview  
3 Optronics Shenzhen, at artificially high prices. Proview further alleges that such OEMs,  
4 including Proview Optronics Shenzhen, then incorporated panels that had been purchased from  
5 Defendants into finished TFT-LCD products, which Proview purchased and resold to customers  
6 in the United States.

7 Accordingly, it appears that Proview Optronics Shenzhen possesses information of  
8 relevance to this litigation, including (1) the quantity of TFT-LCD panels that Proview Optronics  
9 Shenzhen purchased from Defendants on behalf of Proview, (2) the costs of such purchases, (3)  
10 the prices at which Proview Optronics Shenzhen sold TFT-LCD finished products to Proview,  
11 (4) the quantity of TFT-LCD products that Proview Optronics Shenzhen sold to Proview, and (5)  
12 the names of the companies that supplied the TFT-LCD panels to Proview Optronics Shenzhen.

13 **III. OFFER OF RECIPROCAL ASSISTANCE**

14 The United States District Court for the Northern District of California is willing to  
15 provide to the Judicial Authorities of China assistance similar to the type of assistance that is the  
16 subject of this Request. See 28 U.S.C. § 1782.

17 **IV. REIMBURSEMENT FOR COSTS**

18 If there are any costs associated with the provision of assistance that is the subject of this  
19 Request, it will be the responsibility of the attorneys for Defendants to reimburse the Appropriate  
20 Judicial Authority of China for any such costs. Please direct any correspondence or  
21 communications concerning such costs to Neal A. Potischman, Davis Polk & Wardwell LLP,  
22 1600 El Camino Real, Menlo Park, California 94025, United States of America.

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Date: 1/25/15

*Susan Illston*



Honorable Susan Illston

United States District Court  
Northern District of California  
450 Golden Gate Avenue  
19th Floor, Room 10  
San Francisco, California 94102  
United States of America

# EXHIBIT A

**Exhibit A**

**Requests for the Production of Documents**

**Proview Optronics (Shenzhen) Co., Ltd.**

**INSTRUCTIONS**

1. In producing documents and other materials, you are requested to furnish all documents or things in your possession, custody or control, regardless of whether such documents or materials are possessed directly by you or your directors, officers, partners, members, agents, employees, representatives, subsidiaries, managing agents, affiliates, investigators, or by your attorneys or their agents, employees, representatives, or investigators.

2. If any requested document is not or cannot be produced in full, produce it to the extent possible, indicating which document, or portion of that document, is being withheld, and the reason why that document, or portion of that document, is being withheld.

3. In producing documents, you are requested to produce each document requested together with all nonidentical copies and drafts of that document. If the original of any document cannot be located, a copy shall be provided in lieu thereof, and shall be legible and bound or stapled in the same manner as the original.

4. Documents shall be produced as they are kept in the usual course of business.

5. Documents attached to each other should not be separated.

6. Documents not otherwise responsive to the following requests for production (the "Requests") shall be produced if such documents mention, discuss, refer to, or explain the documents that are called for by the Requests, or if such documents are attached to documents called for by the Requests and constitute routing slips, transmittal memoranda, or letters, comments, evaluations, or similar materials.

7. To the extent that you withhold the production of documents pursuant to a claim of attorney-client privilege or attorney work product protection, please prepare and produce a "privilege log," which shall include the following information, to the extent that providing such

information will not destroy the purported privilege or protection: (1) the name of the document custodian; (2) beginning and end Bates stamp numbers for each document and for each attachment to same; (3) the date of the document; (4) the name(s) of all persons authoring or receiving the document; (5) a brief description of the subject matter of the document; (6) whether the document contains redactions or has been withheld in its entirety; (7) the nature of the privilege or protection claimed; (8) a brief statement as to why, under the law, the document is privileged or protected, including whether the primary purpose of the document was to seek or provide legal advice or services; and (9) the number of pages contained in the document.

8. The obligation to respond to these Requests for production is continuing. If at any time after responding to these Requests for production you discover additional information that will make your responses to these Requests for production more complete or correct, supplement or correct your responses as soon as reasonably possible.

### DEFINITIONS

1. The words and phrases used in these Requests shall have the meanings ascribed to them under the Federal Rules of Civil Procedure. In addition, the following terms have the meanings set forth below whenever used in any Request.

2. “Bill-to Location” means the address of the entity to which the bill for a product is sent.

3. “Communicate” or “Communication” means, without limitation, the transmittal of information (in the form of facts, ideas, inquiries or otherwise) between individuals or companies, whether oral, written, electronic, or otherwise, and whether direct or through an intermediary.

4. “Complaint” means the Third Amended Complaint for Damages and Injunctive Relief, Dkt. 44, filed on June 7, 2013, by Proview Technology, Inc. (“Proview”) in In re TFT-LCD (Flat Panel) Antitrust Litigation, Case No. 071827 SI, MDL No. 1827, in the United States District Court for the Northern District of California.

1           5.       “Concerning” means discussing, relating to, contradicting, referring to, reflecting,  
2 analyzing, describing, constituting, evidencing, containing, disclosing, or supporting the  
3 referenced matter.

4           6.       “Document” and “Documents” shall include, without limitation, the following  
5 items, whether handwritten, printed, recorded, filmed, or produced by any mechanical or  
6 electronic process, whether or not asserted to be privileged or immune to discovery, and whether  
7 a master, original, or copy: agreements; communications; correspondence; cablegrams;  
8 telegrams; telexes and telecopies; electronic mail or “e-mail”; electronic texts and instant  
9 messages; notes and memoranda; summaries and minutes of conferences; summaries and records  
10 of personal conversations or interviews; books, manuals, and publications; calendars and diaries;  
11 computer tapes, cards, or disks; marginal notations appearing on any document; charts, graphs,  
12 or graphics; and any other paper or other medium containing information in your possession,  
13 custody, or control. “Document” or “documents” shall also mean all electronically stored  
14 information (“ESI”), including, without limitation, electronic data or data compilations,  
15 electronic files, e-mail, and other electronic communications saved to or located on hard disks,  
16 file servers, floppy disks, CDs, DVDs, backup tapes, thumb drives, or any other electronic  
17 media, whether or not in tangible or electronic form.

18           7.       The term “Person” or “Persons” includes any natural person, governmental entity,  
19 public entity, partnership, corporation, association, firm, trust, joint venture, agency, department,  
20 board, authority, commission, or other such entity.

21           8.       “Relevant Period” means the period from January 1, 1996, through December 11,  
22 2006.

23           9.       “Ship-to Location” means the address to which an item is delivered.

24           10.      “TFT-LCD Panel” refers to “TFT-LCD Panel” as described in paragraphs 62 and  
25 63 of the Complaint.

26           11.      “TFT-LCD Product” means a television, monitor, or laptop computer in which a  
27 TFT-LCD Panel is a key component.  
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12. “You” or “Your” refers to Proview Optronics (Shenzhen) Co., Ltd., and any agents, employees, representatives and other persons or entities acting, or authorized to act, on its behalf.

## REQUESTS FOR PRODUCTION OF DOCUMENTS

### **REQUEST NO. 1.**

Documents sufficient to show Your principal place of business and country of incorporation from January 1, 1999, to December 6, 2012.

### **REQUEST NO. 2.**

All Documents Concerning Your distribution chain relating to TFT-LCD Panels and TFT-LCD Products, from the purchase of TFT-LCD Panels, to the manufacture of TFT-LCD Products, to the sale of those TFT-LCD Products, to the resale of those TFT-LCD Products.

### **REQUEST NO. 3.**

All agreements, contracts, memoranda of understanding, or any other Document relating to Your acquisition of TFT-LCD Panels or sale of TFT-LCD Products, including all exclusive contracts, cost-plus contracts, and most-favored-nation contracts and purchase order acknowledgments, as well as representative purchase orders and invoices.

### **REQUEST NO. 4.**

For the period from January 1, 1994 through December 31, 2009, transactional data, information, and Documents sufficient to show Your acquisition of any TFT-LCD Panels, including Documents evidencing:

- a. the date You acquired each TFT-LCD Panel;
- b. the place You acquired each TFT-LCD Panel, including the specific entity that shipped the TFT-LCD Panel, and the physical location from which the TFT-LCD Panel was shipped to You;
- c. the Person or entity from whom You acquired each TFT-LCD Panel;
- d. the Ship-to Location and Bill-to Location for each TFT-LCD Panel;
- e. the type of each TFT-LCD Panel;

- f. the size of each TFT-LCD Panel;
- g. the technology used in each TFT-LCD Panel;
- h. the manufacturer of each TFT-LCD Panel;
- i. the intended use for each TFT-LCD Panel (for example, for incorporation into an TFT-LCD Product or for resale);
- j. the application of each TFT-LCD Panel;
- k. the quantity of each acquisition;
- l. the list price or negotiated price of each TFT-LCD Panel;
- m. the before-tax net price of each TFT-LCD Panel, including any store or manufacturer discounts, coupons, rebates, refunds, dividends, or other price adjustments;
- n. any taxes, customs, tariffs, duties, or other fees You paid on each TFT-LCD Panel;
- o. all terms and conditions that were part of each acquisition of any TFT-LCD Panel, including any rebates, below-cost pricing, most-favored-nation pricing, negotiable pricing, sale pricing, or loss-leader pricing;
- p. any and all freight charges associated with each TFT-LCD Panel, including the freight terms (e.g., FOB, CIF, etc.) and shipping destination agreed upon with the seller;
- q. whether each TFT-LCD Panel was acquired as part of a system or other bundled product and, if so, the value of each component of such systems or bundled products; and
- r. all tracking numbers, model numbers, or other information used to identify each TFT-LCD Panel.

**REQUEST NO. 5.**

For the period from January 1, 1994, through December 31, 2009, transactional data, information, and Documents sufficient to show the initial purchase or acquisition of any TFT-

1 LCD Panel that was made by a third-party system integrator, contract manufacturer, or some  
2 other Person or entity on Your behalf or at Your direction, including Documents evidencing:

- 3 a. the date You acquired each TFT-LCD Panel;
- 4 b. the place You acquired each TFT-LCD Panel, including the specific entity  
5 that shipped the TFT-LCD Panel, and the physical location from which the  
6 TFT-LCD Panel was shipped to You;
- 7 c. the Person or entity from whom You acquired each TFT-LCD Panel;
- 8 d. the Ship-to Location and Bill-to Location for each TFT-LCD Panel;
- 9 e. the type of each TFT-LCD Panel;
- 10 f. the size of each TFT-LCD Panel;
- 11 g. the technology used in each TFT-LCD Panel;
- 12 h. the manufacturer of each TFT-LCD Panel;
- 13 i. the intended use for each TFT-LCD Panel (for example, for incorporation  
14 into an TFT-LCD Product or for resale);
- 15 j. the application of each TFT-LCD Panel;
- 16 k. the quantity of each acquisition;
- 17 l. the list price or negotiated price of each TFT-LCD Panel;
- 18 m. the before-tax net price of each TFT-LCD Panel, including any store or  
19 manufacturer discounts, coupons, rebates, refunds, dividends, or other  
20 price adjustments;
- 21 n. any taxes, customs, tariffs, duties, or other fees You paid on each TFT-  
22 LCD Panel;
- 23 o. all terms and conditions that were part of each acquisition of any TFT-  
24 LCD Panel, including any rebates, below-cost pricing, most-favored-  
25 nation pricing, negotiable pricing, sale pricing, or loss-leader pricing;
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- p. any and all freight charges associated with each TFT-LCD Panel, including the freight terms (e.g., FOB, CIF) and shipping destination agreed upon with the seller;
- q. whether each TFT-LCD Panel was acquired as part of a system or other bundled product and, if so, the value of each component of such systems or bundled products; and
- r. all tracking numbers, model numbers, or other information used to identify each TFT-LCD Panel.

**REQUEST NO. 6.**

For the period from January 1, 1994, through December 31, 2009, transactional data, information, and Documents sufficient to show any sale by You of any TFT-LCD Product, including Documents evidencing:

- a. the date of the sale;
- b. the place You sold each TFT-LCD Product, including the specific entity that shipped each TFT-LCD Product, and the physical location from which each TFT-LCD Product was shipped or sold;
- c. the Person or entity to whom You sold the TFT-LCD Product;
- d. the Ship-to Location and Bill-to Location for the sale;
- e. the type of each TFT-LCD Panel contained in the TFT-LCD Product;
- f. the size of each TFT-LCD Panel contained in the TFT-LCD Product;
- g. the technology used in each TFT-LCD Panel in the TFT-LCD Product;
- h. the manufacturer of each TFT-LCD Panel contained in the TFT-LCD Product;
- i. the intended use for each TFT-LCD Product;
- j. the quantity of each sale;
- k. the list price or negotiated price of each TFT-LCD Product;

- l. the before-tax net price of each TFT-LCD Product sold, including any store or manufacturer discounts, coupons, rebates, refunds, dividends, or other price adjustments;
- m. the Cost to You of each TFT-LCD Product You sold, on an itemized basis, including logistics costs (e.g., transportation costs) as well as the methodology and any assumptions used to calculate these costs;
- n. any taxes, customs, tariffs, duties, or other fees You paid on each sale;
- o. all terms and conditions that were part of each sale by You, including any rebates, below-cost pricing, most-favored-nation pricing, negotiable pricing, sale pricing, or loss-leader pricing;
- p. any and all freight charges associated with each sale, including the freight terms (e.g., FOB, CIF) and shipping destination agreed upon with the seller;
- q. whether each TFT-LCD Product was sold as part of a system or other bundled product (e.g., an TFT-LCD monitor purchased in conjunction with a CPU) and, if so, the value of each component of such systems or bundled products; and
- r. copies of all receipts, invoices, wire transfer records, or other similar Documents evidencing each sale; and
- s. all tracking numbers, model numbers, or other information used to identify each TFT-LCD Product.

#### **REQUEST NO. 7.**

Documents sufficient to link, trace, or otherwise establish a relationship between each acquisition of any TFT-LCD Panels identified in Documents produced in response to Request Nos. 5 and 6 and each sale by You of any TFT-LCD Products identified in Documents produced in response to Request No. 7.

**REQUEST NO. 8.**

For each electronic data file produced in response to Request Nos. 5 through 8, Documents sufficient to (a) describe the contents of the data file, (b) define all data fields (i.e., variables) and terms contained in the data, (c) describe any relationship(s) between the data file and other data files produced, and (d) identify Persons most knowledgeable of the operation and contents of the data file.

**REQUEST NO. 9.**

Documents sufficient to show the meaning of all model codes and other codes stated in any data produced in response to Request Nos. 5 through 8. For TFT-LCD Panels, such documentation should include files that contain the characteristics of the TFT-LCD Panel associated with each model code, including the size, resolution, pixel configuration, video display standard (e.g., XGA, WSXGA), application (e.g., industrial automation and information products, including controllers and industrial monitors), grade, luminance, viewing angle, contrast ratio, response time, and mode of panel (e.g., twisted nematic, in-plane switching). For TFT-LCD Products, such documentation should include characteristics of the TFT-LCD Panel associated with the TFT-LCD Product, as described above, as well as any other characteristics of the TFT-LCD Product (e.g., the inclusion of a camera, music player, or keyboard if the TFT-LCD Product is a mobile device).

**REQUEST NO. 10.**

Documents Concerning Your policies and procedures for inventory management of purchases or acquisitions of TFT-LCD Panels, including the location(s) of any inventory warehouses and the procedure by which You managed that inventory, and where and when You took title to product.

**REQUEST NO. 11.**

All distribution agreements between You and any wholesale distributor that distributed TFT-LCD Products for You.

**REQUEST NO. 12.**

All Documents Concerning revenue, costs, profitability and margins (on a monthly, quarterly, and yearly basis) for all TFT-LCD Products You sold, used, manufactured, distributed or supplied during the Relevant Period.

**REQUEST NO. 13.**

Without limitation as to time, all Documents summarizing, describing, or relating to any suspicion or belief by You or any other Person or entity that any manufacturer or seller of TFT-LCD Panels or TFT-LCD Products was engaged in any anticompetitive conduct relating to TFT-LCD Panels or TFT-LCD Products.

**REQUEST NO. 14.**

Without limitation as to time, all Documents summarizing, describing, or relating to the circumstances under which You first became aware of the facts alleged in the Complaint, including, without limitation, any Documents summarizing, describing, or relating to what caused You to become aware of those facts.

**REQUEST NO. 15.**

Documents Concerning the identity and location of each entity that owns or operates each facility where TFT-LCD Products were assembled for or by You.

**REQUEST NO. 16.**

Documents Concerning the current contact information for all Your former or current employees who had responsibilities regarding the acquisition of TFT-LCD Panels or sale of TFT-LCD Products, including name, former position, telephone number, mail address, email address, and, if represented in this matter, attorney and attorney's contact information.

**REQUEST NO. 17.**

13. All Documents evidencing the relationship between You, Proview Technology, Inc., Proview Technology (Shenzhen) Co., Ltd., Proview Group (Labuan) Ltd., Proview Electronics Co., Ltd., Essex Monitor (H.K.) Company, Ltd., or Proview Technology (Wuhan) Co., Ltd., and any of their respective predecessor or successor entities, including, but not limited

1 to, the dates of any combinations, mergers, stock acquisitions, divestitures, spin-offs, sales or  
2 other transactions, and the identities of all such predecessors or successors.

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# EXHIBIT B

**Exhibit B**

**Matter on Which Examination Is Requested**

**Proview Optronics (Shenzhen) Co., Ltd.**

**MATTER ON WHICH EXAMINATION IS REQUESTED**

**EXAMINATION MATTER NO. 1:**

The substance of the documents and materials requested in Exhibit A to this Request for International Judicial Assistance.

# EXHIBIT C

	)	No.: M-07-1827 SI
<b>In Re TFT-LCD (FLAT PANEL)</b>	)	
<b>ANTITRUST LITIGATION</b>	)	MDL NO. 1827
<hr/>	)	
	)	<b>STIPULATED PROTECTIVE ORDER</b>
This Document Relates to:	)	
	)	
ALL ACTIONS.	)	
	)	

Disclosure and discovery activity in this action may involve production of trade secrets or other confidential research, development, or commercial information, within the meaning of Fed.R.Civ.P. 26(c); or other private or competitively sensitive information for which special protection from public disclosure and from use for any purpose other than prosecuting this litigation would be warranted. Accordingly, the parties hereby stipulate to and petition the Court to enter the following Stipulated Protective Order. The parties acknowledge that this Order does not confer blanket protections on all disclosures or responses to discovery and that the protection it affords extends only to the limited information or items that are entitled under the applicable legal principles to confidential treatment. The parties further acknowledge, as set forth in Section 10, below, that this Stipulated Protective Order creates no entitlement to file confidential information under seal. Civil Local Rule 79-5 sets forth the

procedures that must be followed and reflects the standards that will be applied when a party seeks permission from the Court to file material under seal, and is hereby incorporated by reference.

**2. DEFINITIONS.**

**2.1 Party:** any party to this action, including all of its officers, directors, and employees.

**2.2 Disclosure or Discovery Material:** all items or information, regardless of the medium or manner generated, stored, or maintained (including, among other things, documents, testimony, transcripts, or tangible things) that are produced or generated in disclosures or responses to discovery in this matter.

**2.3 Confidential Information or Items:** information (regardless of how generated, stored or maintained) or tangible things that qualify for protection under standards developed under Fed.R.Civ.P. 26(c).

**2.4 Highly Confidential Information or Items:** extremely sensitive Confidential Information or Items whose disclosure to another Party or non-party would create a substantial risk of injury that could not be avoided by less restrictive means.

**2.5 Receiving Party:** a Party that receives Disclosure or Discovery Material from a Producing Party.

**2.6 Producing Party:** a Party or non-party that produces Disclosure or Discovery Material in this action.

**2.7. Designating Party:** a Party or non-party that designates information or items that it produces in disclosures or in responses to discovery as "Confidential" or "Highly Confidential."

**2.8 Protected Material:** any Disclosure or Discovery Material that is designated as "Confidential" or as "Highly Confidential."

**2.9. Outside Counsel:** attorneys, along with their paralegals, and other support personnel, who are not employees of a Party but who are retained to represent or advise a Party in this action.

2.10 In House Legal Personnel: attorneys and other personnel employed by a Party to perform legal functions who are responsible for overseeing this litigation for the Party.

2.11 Counsel (without qualifier): Outside Counsel and In House Legal Personnel (as well as their support staffs, including but not limited to attorneys, paralegals, secretaries, law clerks, and investigators).

2.12 Expert and/or Consultant: a person with specialized knowledge or experience in a matter pertinent to the litigation, along with his or her employees and support personnel, who has been retained by a Party or its Counsel to serve as an expert witness or as a consultant in this action, and who is not currently an employee, nor has been an employee within four years of the date of entry of this Order, of a Party or of a TFT-LCD business unit of a non-party, and who, at the time of retention, is not anticipated to become an employee of a Party or of a TFT-LCD business unit of a non-party. This definition includes a professional jury or trial consultant retained in connection with this litigation.

2.13 Professional Vendors: persons or entities that provide litigation support services (e.g., photocopying; videotaping; translating; preparing exhibits or demonstrations; organizing, storing, retrieving data in any form or medium; *etc.*) and their employees and subcontractors.

### 3. SCOPE.

The protections conferred by this Stipulated Protective Order cover not only Protected Material (as defined above), but also any information copied or extracted therefrom, as well as all copies, excerpts, summaries, or compilations thereof, plus testimony, conversations, or presentations by Parties or Counsel in settings that might reveal Protected Material. However, this Order shall not be construed to cause any Counsel to produce, return, and/or destroy their own attorney work product, or the work product of their co-counsel.

### 4. DURATION.

The confidentiality obligations imposed by this Order shall remain in effect until the Designating Party agrees otherwise in writing or this Court orders otherwise.

1                   **5.     DESIGNATING PROTECTED MATERIAL.**

2                   **5.1     Exercise of Restraint and Care in Designating Material for Protection.**

3     Each Party or non-party that designates information or items for protection under this Order  
4     must take care to limit any such designation to specific material that qualifies under the  
5     appropriate standards and avoid indiscriminate designations.

6                   If it comes to a Designating Party's attention that information or items that it  
7     designated for protection do not qualify for protection at all, or do not qualify for the level of  
8     protection initially asserted, that Designating Party must promptly notify all Receiving Parties  
9     that it is withdrawing or changing the mistaken designation.

10                  **5.2     Manner and Timing of Designations.** Except as otherwise provided in  
11     this Order (*see, e.g.,* section 5.2(b), below), or as otherwise stipulated or ordered, material  
12     that qualifies for protection under this Order must be clearly so designated before the material  
13     is disclosed or produced. Notwithstanding the preceding sentence, should a Producing Party  
14     discover that it produced material that was not designated as Protected Material or that it  
15     produced material that was designated as Protected Material but had designated that Protected  
16     Material in the incorrect category of Protected Material, the Producing Party may notify all  
17     Parties, in writing, of the error and identifying (by bates number or other individually  
18     identifiable information) the affected documents and their new designation or re-designation.  
19     Thereafter, the material so designated or re-designated will be treated as Protected Material.  
20     Promptly after providing such notice, the Producing Party shall provide re-labeled copies of  
21     the material to each Receiving Party reflecting the change in designation. The Receiving Party  
22     will replace the incorrectly designated material with the newly designated materials and will  
23     destroy the incorrectly designated materials.

24                  Designation in conformity with this Order requires:

25                  (a)     for information in documentary form (apart from transcripts of  
26                           depositions or other pretrial or trial proceedings), that the Producing Party affix the  
27                           legend "CONFIDENTIAL" or "HIGHLY CONFIDENTIAL" on each page that  
28                           contains protected material.

(b) for testimony given in deposition, that a Party, or a non-party that sponsors, offers, gives, or elicits the testimony, designate any portion of the testimony as “CONFIDENTIAL” or “HIGHLY CONFIDENTIAL,” either on the record before the deposition is concluded, or in writing on or before the later of (i) fourteen days after the final transcript is received or (ii) the date by which any review by the witness and corrections to the transcript are to be completed under Fed. R. Civ. P. 30(e). Only those portions of the testimony that are designated for protection in accordance with the preceding sentence shall be covered by the provisions of this Stipulated Protective Order. The entire testimony shall be deemed to have been designated Highly Confidential until the time within which the transcript may be designated has elapsed. If testimony is not designated within the prescribed time period, then such testimony shall not be deemed Confidential or Highly Confidential except as ordered by the Court.

Transcript pages containing Protected Material must be separately bound by the court reporter, who must affix to each such page the legend “CONFIDENTIAL” or “HIGHLY CONFIDENTIAL,” as instructed by the Party or nonparty sponsoring, offering, giving or eliciting the witness’ testimony.

(c) for information produced in electronic or video format, and for any other tangible items, that the Producing Party affix in a prominent place on the exterior of the container or containers in which the information or item is stored the legend “CONFIDENTIAL” or “HIGHLY CONFIDENTIAL.”

5.3 Inadvertent Failures to Designate. If corrected, an inadvertent failure to designate qualified information or items as “Confidential” or “Highly Confidential” does not, standing alone, waive the Designating Party’s right to secure protection under this Order for such material. If material is re-designated as “Confidential” or “Highly Confidential” after the material was initially produced, the Receiving Party, upon notification of the designation, must make reasonable efforts to assure that the material is treated in accordance with the provisions of this Order.



1                   5.4    Increasing the Designation of Information or Items Produced by Other  
2 Parties or Non-Parties. Subject to the standards of paragraph 5.1, a Party may increase the  
3 designation (*i.e.*, change any Disclosure or Discovery Material produced without a designation  
4 to a designation of "CONFIDENTIAL" or "HIGHLY CONFIDENTIAL" or designate any  
5 Disclosure or Discovery Material produced as "CONFIDENTIAL" to a designation of  
6 "HIGHLY CONFIDENTIAL") of any Discovery Material produced by any other Party or  
7 non-Party, provided that said Discovery Material contains the upward Designating Party's own  
8 Confidential or Highly Confidential Information. Any such increase in the designation of a  
9 document shall be made within 90 days of the date of its production, unless good cause is  
10 shown for a later increase in the designation.

11                   Increasing a designation shall be accomplished by providing written notice to all  
12 Parties identifying (by bates number or other individually identifiable information) the  
13 Disclosure or Discovery Material whose designation is to be increased. Promptly after  
14 providing such notice, the upward Designating Party shall provide re-labeled copies of the  
15 material to each Receiving Party reflecting the change in designation. The Receiving Party  
16 will replace the incorrectly designated material with the newly designated materials and will  
17 destroy the incorrectly designated materials. Any Party may object to the increased  
18 designation of Disclosure or Discovery Materials pursuant to the procedures set forth in  
19 paragraph 6 regarding challenging designations. The upward Designating Party shall bear the  
20 burden of establishing the basis for the increased designation.

21                   **6.    CHALLENGING CONFIDENTIALITY DESIGNATIONS.**

22                   6.1    Timing of Challenges. A Party does not waive its right to challenge a  
23 confidentiality designation by electing not to mount a challenge promptly after the original  
24 designation is disclosed.

25                   6.2    Meet and Confer. A Party that elects to initiate a challenge to a  
26 Designating Party's confidentiality designation must do so in good faith and must begin the  
27 process by notifying the Designating Party in writing, by telephone or in person of its challenge  
28 and identify the challenged material, then conferring directly in voice to voice dialogue (other

forms of communication are not sufficient) with counsel for the Designating Party. The Parties must then meet and confer in good faith. Each Party must explain the basis for its respective position about the propriety of the challenged confidentiality designations. The parties shall have fourteen (14) days from the initial notification of a challenge to complete this meet and confer process.

**6.3 Judicial Intervention.** In any judicial proceeding challenging a confidentiality designation, the burden of persuasion with respect to the propriety of the confidentiality designation shall remain upon the Designating Party. If the parties are not able to resolve a dispute about a confidentiality designation within the time provided in paragraph 6.2, above, the parties shall, within fourteen (14) days thereafter, prepare and present to the Special Master a joint letter brief that identifies the challenged material and sets forth the respective positions of the parties about the propriety of the challenged confidentiality designations. Until the ruling on the dispute becomes final pursuant to the provisions of Pre-Trial Order No. 4, all parties shall continue to afford the material in question the level of protection to which it is entitled under the Designating Party's designation.

In the event that the final ruling is that the challenged material is not confidential or that its designation should be changed, the Designating Party shall reproduce copies of all materials with their designations removed or changed in accordance with the ruling within thirty (30) days at the expense of the Designating Party.

## **7. ACCESS TO AND USE OF PROTECTED MATERIAL.**

**7.1 Basic Principles.** A Receiving Party may use Protected Material that is disclosed or produced by a Producing Party only in connection with this action for prosecuting, defending, or attempting to settle this action. Such Protected Material may be disclosed only to the categories of persons and under the conditions described in this Order. When the litigation has been terminated, a Receiving Party must comply with the provisions of section 11, below (FINAL DISPOSITION).

Protected Material must be stored and maintained by a Receiving Party at a location and in a secure manner that ensures that access is limited to the persons authorized

under this Order. For purposes of this Order, a secure website, or other internet-based document depository with adequate security, shall be deemed a secure location.

7.2 Disclosure of "CONFIDENTIAL" Information or Items. Unless otherwise ordered by the Court or permitted in writing by the Designating Party, a Receiving Party may disclose any information or item designated "CONFIDENTIAL" only to:

(a) the Receiving Party's Outside Counsel of record in this action, as well as employees of said counsel to whom it is reasonably necessary to disclose the information for this litigation;

(b) current or former officers, directors, and employees of Parties to whom disclosure is reasonably necessary for this litigation and who have signed the "Agreement To Be Bound by Protective Order" (Exhibit A);

(c) Experts and/or Consultants with respect to each of whom (1) disclosure is reasonably necessary for this litigation, and (2) an "Agreement To Be Bound by Protective Order" (Exhibit A) has been signed;

(d) the Court and its personnel;

(e) stenographers, their staffs, and professional vendors to whom disclosure is reasonably necessary for this litigation and who have signed the "Agreement To Be Bound by Protective Order" (Exhibit A);

(f) the author, addressees, or recipients of the document, or any other natural person who would have likely reviewed such document during his or her employment as a result of the substantive nature of his or her employment position, or who is specifically identified in the document, or whose conduct is purported to be specifically identified in the document;

(g) witnesses in the action to whom disclosure is reasonably necessary for this litigation and who have signed the "Agreement To Be Bound by Protective Order" (Exhibit A); provided that, Confidential Information may be disclosed to a witness during their deposition, but only if they have executed the "Agreement to Be Bound by Protective Order" (Exhibit A), which shall be made an exhibit to the deposition

1 transcript, or have agreed on the record to keep the information confidential and not to  
2 use it for any purpose, or have been ordered to do so; and provided further that, pages  
3 of transcribed deposition testimony or exhibits to depositions that reveal Confidential  
4 Information must be marked "Confidential" and separately bound by the court reporter  
5 and not included in the main deposition transcript and exhibit binder, and may not be  
6 disclosed to anyone except as permitted under this Stipulated Protective Order; and

7 (h) any other person to whom the Designating Party agrees in writing or on  
8 the record, and any other person to whom the Court compels access to the Confidential  
9 Information.

10 7.3 Disclosure of "HIGHLY CONFIDENTIAL" Information or Items.

11 Unless otherwise ordered by the Court or permitted in writing by the Designating Party, a  
12 Receiving Party may disclose any information or item designated "HIGHLY  
13 CONFIDENTIAL" only to:

14 (a) the Receiving Party's Outside Counsel of record in this action, as well as  
15 employees of said counsel to whom it is reasonably necessary to disclose the  
16 information for this litigation;

17 (b) Experts and/or Consultants with respect to each of whom (1) disclosure  
18 is reasonably necessary for this litigation, and (2) an "Agreement To Be Bound by  
19 Protective Order" (Exhibit A) has been signed;

20 (c) the Court and its personnel;

21 (d) stenographers, their staffs, and professional vendors to whom disclosure  
22 is reasonably necessary for this litigation and who have signed the "Agreement to Be  
23 Bound by Protective Order" (Exhibit A);

24 (e) the author, addressees or recipients of the document, or any other  
25 natural person who would have likely reviewed such document during his or her  
26 employment as a result of the substantive nature of his or her employment position, or  
27 who is specifically identified in the document, or whose conduct is purported to be  
28 specifically identified in the document;

1 (f) deposition witnesses but only during their depositions and only if they  
2 have executed the "Agreement to Be Bound by Protective Order" (Exhibit A), which  
3 shall be made an exhibit to the deposition transcript, or have agreed on the record to  
4 keep the information confidential and not to use it for any purpose, or have been  
5 ordered to do so; and in addition, if the witness is an employee of a Party or is a former  
6 employee of a Party, then In House Legal Personnel of the Party in attendance at the  
7 deposition of such a witness, may also be present during that portion of the deposition  
8 but only if the In House Legal Personnel has signed the "Agreement to Be Bound by  
9 Protective Order" (Exhibit A); provided that, pages of transcribed deposition testimony  
10 or exhibits to depositions that reveal Highly Confidential Information must be marked  
11 "Highly Confidential" and separately bound by the court reporter and not included in  
12 the main deposition transcript and exhibit binder, and may not be disclosed to anyone  
13 except as permitted under this Stipulated Protective Order; and provided, further that,  
14 the parties will meet and confer if the Designating Party believes a particular document  
15 requires different treatment for use at deposition; and

16 (g) any other person to whom the Designating Party agrees in writing or on  
17 the record, and any other person to whom the Court compels access to the Highly  
18 Confidential Information.

19 7.4 Retention of Exhibit A. Outside Counsel for the Party that obtains the  
20 signed "Agreements To Be Bound by Protective Order" (Exhibit A), as required above, shall  
21 retain them for one year following the final termination of this action, including any appeals,  
22 and shall make them available to other Parties upon good cause shown.

23 7.5 Retention of Protected Material. Persons who have been shown  
24 Protected Material pursuant to Section 7.2(b), (f), or (g), or Section 7.3(e) or (f) shall not  
25 retain copies of such Protected Material.  
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8. **PROTECTED MATERIAL SUBPOENAED OR ORDERED  
PRODUCED IN OTHER LITIGATION.**

If a Receiving Party is served with a discovery request, subpoena or an order issued in other litigation that would compel disclosure of any information or items designated in this action as "CONFIDENTIAL" or "HIGHLY CONFIDENTIAL," the Receiving Party must so notify the Designating Party, in writing (by fax or electronic mail, if possible), along with a copy of the discovery request, subpoena or order, as soon as reasonably practicable.

The Receiving Party also must immediately inform the party who caused the discovery request, subpoena or order to issue in the other litigation that some or all the material covered by the subpoena or order is the subject of this Protective Order. In addition, the Receiving Party must deliver a copy of this Stipulated Protective Order promptly to the party in the other action that caused the discovery request, subpoena or order to issue.

The purpose of imposing these duties is to alert the interested parties to the existence of this Stipulated Protective Order and to afford the Designating Party in this case an opportunity to try to protect its confidentiality interest in the court from which the discovery request, subpoena or order is issued. The Designating Party shall bear the burdens and the expenses of seeking protection in that court of its confidential or highly confidential material. Nothing in these provisions should be construed as authorizing or encouraging a Receiving Party in this action to disobey a lawful directive from another court.

9. **UNAUTHORIZED DISCLOSURE OF PROTECTED  
MATERIAL.**

If a Receiving Party learns that, by inadvertence or otherwise, it has disclosed Protected Material to any person or in any circumstance not authorized under this Stipulated Protective Order, the Receiving Party must immediately (a) notify in writing the Designating Party of the unauthorized disclosures, (b) use its best efforts to retrieve all copies of the Protected Material, (c) inform the person or persons to whom unauthorized disclosures were made of all the terms of this Order, and (d) request such person or persons to execute the "Acknowledgment and Agreement To Be Bound" that is attached hereto as Exhibit A.



1                   **10. FILING PROTECTED MATERIAL.**

2                   Without written permission from the Designating Party or a court order secured  
3 after appropriate notice to all interested persons, a Party may not file in the public record in this  
4 action any Protected Material. A Party that seeks to file under seal any Protected Material  
5 must comply with Civil Local Rule 79-5.

6                   **11. FINAL DISPOSITION.**

7                   Unless otherwise ordered or agreed in writing by the Producing Party, within  
8 thirty days after the final termination of this action, including any appeals, each Receiving  
9 Party must return all Protected Material to the Producing Party. As used in this subdivision,  
10 "Protected Material" includes all copies, abstracts, compilations, summaries or any other form  
11 of reproducing or capturing any of the Protected Material. The Receiving Party may destroy  
12 some or all of the Protected Material instead of returning it. Whether the Protected Material  
13 is returned or destroyed, the Receiving Party must submit a written certification to the  
14 Producing Party (and, if not the same person or entity, to the Designating Party) by the thirty  
15 day deadline that identifies (by category, where appropriate) all the Protected Material that was  
16 returned or destroyed and that affirms that the Receiving Party has not retained any copies,  
17 abstracts, compilations, summaries or other forms of reproducing or capturing any of the  
18 Protected Material. Notwithstanding this provision, counsel are entitled to retain an archival  
19 copy of all pleadings, motion papers, transcripts, legal memoranda, correspondence or  
20 attorney work product, even if such materials contain Protected Material. Any such archival  
21 copies that contain or constitute Protected Material remain subject to this Protective Order as  
22 set forth in Section 4 (DURATION), above.

23                   **12. INADVERTENTLY PRODUCED DOCUMENTS.**

24                   If a Party at any time notifies any other Party that it inadvertently produced  
25 documents, testimony, information, and/or things that are protected from disclosure under the  
26 attorney-client privilege, work product doctrine, and/or any other applicable privilege or  
27 immunity from disclosure, or the Receiving Party discovers such inadvertent production, the  
28 inadvertent production shall not be deemed a waiver of the applicable privilege or protection.

1 The Receiving Party shall immediately return all copies of such documents, testimony,  
2 information and/or things to the inadvertently producing Party and shall not use such items for  
3 any purpose until further order of the Court. In all events, such return must occur within three  
4 (3) business days of receipt of notice or discovery of the inadvertent production. The return of  
5 any discovery item to the inadvertently producing Party shall not in any way preclude the  
6 Receiving Party from moving the Court for a ruling that the document or thing was never  
7 privileged.

8 **13. ATTORNEY RENDERING ADVICE**

9 Nothing in this Protective Order will bar or otherwise restrict an attorney from  
10 rendering advice to his or her client with respect to this matter or from relying upon or  
11 generally referring to "CONFIDENTIAL" or "HIGHLY CONFIDENTIAL" Disclosure or  
12 Discovery Material in rendering such advice; provided however, that in rendering such advice  
13 or in otherwise communicating with his or her client, the attorney shall not reveal or disclose  
14 the specific content thereof if such disclosure is not otherwise permitted under this Protective  
15 Order.

16 **14. DISPOSITIVE MOTION HEARINGS AND TRIAL**

17 The terms of this Protective Order shall govern in all circumstances except for  
18 presentations of evidence and argument at hearings on dispositive motions and at trial. The  
19 parties shall meet and confer in advance of such proceedings and seek the guidance of the Court  
20 as to appropriate procedures to govern such proceedings.

21 **15. MISCELLANEOUS.**

22 **15.1 Right to Further Relief.** Nothing in this Order abridges the right of any  
23 person to seek its modification by the Court in the future.

24 **15.2 Right to Assert Other Objections.** By stipulating to the entry of this  
25 Protective Order no Party waives any right it otherwise would have to object to disclosing or  
26 producing any information or item on any ground not addressed in this Stipulated Protective  
27 Order. Similarly, no Party waives any right to object on any ground to use in evidence of any  
28 of the material covered by this Protective Order.



1 IT IS SO STIPULATED.

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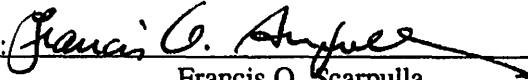
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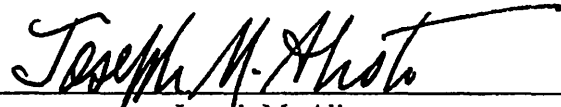
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PURSUANT TO STIPULATION, IT IS SO ORDERED.

DATED: \_\_\_\_\_

Susan Illston

Hon. Susan Illston  
United States District Judge

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By: \_\_\_\_\_

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PURSUANT TO STIPULATION, IT IS SO ORDERED.

DATED: 3/14/12

S J

Hon. Susan Illston  
United States District Judge

**EXHIBIT A**

**ACKNOWLEDGMENT AND AGREEMENT TO BE BOUND**

I, \_\_\_\_\_ [print full name], of

\_\_\_\_\_ [print or type full address],

declare under penalty of perjury under the laws of the United States of America that I have read in its entirety and understand the Stipulated Protective Order that was issued by the United States District Court for the Northern District of California, San Francisco Division, in the case of In Re TFT-LCD (FLAT PANEL) ANTITRUST LITIGATION, No.: M-07-1827 SI, MDL No. 1827.

I agree to comply with and to be bound by all the terms of this Stipulated Protective Order, and I understand and acknowledge that failure to so comply could expose me to sanctions and punishment in the nature of contempt. I solemnly promise that I will not disclose in any manner any information or item that is subject to this Stipulated Protective Order to any person or entity except in strict compliance with the provisions of this Order.

I further agree to submit to the jurisdiction of the United States District Court for the Northern District of California for the purpose of enforcing the terms of this Stipulated Protective Order, even if such enforcement proceedings occur after termination of this action.

Date: \_\_\_\_\_

City and State (or Country) where sworn and signed: \_\_\_\_\_

Printed name: \_\_\_\_\_

Signature: \_\_\_\_\_

# EXHIBIT D

**Exhibit D****Names and Addresses  
of Parties and Representatives**

<b>PARTIES</b>	<b>REPRESENTATIVES</b>
<b>Plaintiff</b>	
Proview Technology, Inc. 7373 Hunt Avenue Garden Grove, California 92841 United States of America	Richard M. Heimann Brendan P. Glackin Eric B. Fastiff Marc Pilotin Lieff Cabraser Heimann & Bernstein LLP 275 Battery St., 29th Floor San Francisco, California 94111-3339 United States of America  Christopher I. Brain Kim D. Stephens Chase C. Alvord Tousley Brain Stephens PLLC 1700 Seventh Avenue, Suite 2200 Seattle, Washington 98101 United States of America  Mark D. Baute Sean A. Andrade Baute Crochetiere & Gilford LLP 777 South Figueroa Street, Suite 4900 Los Angeles, California 90017 United States of America
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AU Optronics Corporation America, Inc. 9720 Cypresswood Drive, Suite 241 Houston, Texas 77070 United States of America	Carl L. Blumenstein Nossaman LLP 50 California Street, 34th Floor San Francisco, California 94111 United States of America



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PARTIES	REPRESENTATIVES
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